



TRANSFER CHECKLIST

I currently have the following type of License:

Please select one of the following and submit the documents in the applicable sections below:

- ☐ I am a Salesperson (submit items listed in Section A or B)
- ☐ I am an Associate Broker (submit items listed in Sections A, B, C or D)
- ☐ I am a Designated Broker (submit items listed in Sections A, B, C or D)
- ☐ I am an Inactive Salesperson (submit items listed in Section B)
- ☐ I am an Inactive Broker (submit items listed in Sections B, C or D)

A. Transferring To INACTIVE STATUS

You will need to submit the following items to the Commission Office:

- ☐ Request to Be Placed on Inactive Status (you will be placed on inactive status the date we receive this request)
- ☐ Your Broker will need to submit your Wall License or Lost License Affidavit to the Commission Office.

If you are a Designated Broker you will also need to submit the following:

- ☐ Wall License or Lost License Affidavit (for yourself and any affiliated licensees, if applicable)

Note: Transaction records must be maintained for five years. You will be contacted for a final review by a Trust Account Examiner during their cycle.

B. Transferring License To A Broker or A Different Broker (Salesperson or Associate Broker):

You will need to submit the following items to the Commission Office:

- ☐ Transfer Fee - \$25.00 (unless you have never held an active license, there is no fee for initial activation of license)
- ☐ Wall License or Notification to Prior Broker Letter or Lost License Affidavit (required ONLY if currently on Active Status)
- ☐ Employing Broker Letter to Employ or Transfer Form
- ☐ Request to Transfer from Licensee or Transfer Form
- ☐ Errors & Omissions Insurance (Required ONLY if currently have a Group Policy or inactive)
- ☐ Continuing Education – Up to Date (Required ONLY if currently on Inactive status)

C. Becoming A Designated Broker

You will need to submit the following items to the Commission Office:

- ☐ Transfer Fee - \$25.00
- ☐ Wall License or Notification to Prior Broker Letter or Lost License Affidavit (required ONLY if currently on Active Status)
- ☐ Letter of Intent on how you plan to do business i.e. trade name, corporation, LLC, etc.
- ☐ Consent to Examine Trust Account Form
- ☐ Errors & Omissions Insurance (Required ONLY if currently have a Group Policy or inactive)
- ☐ Continuing Education – Up to Date (Required ONLY if currently on Inactive status)

Indicate the way(s) you will be conducting business to submit the required documents for the entity type(s):

- ☐ I will be doing business under my **Own Name** (no additional documents are required to be submitted)
- ☐ I will be doing business under my **Corporation or Professional Corporation (PC)** (submit items listed in Section 1)
- ☐ I will be doing business under my **Limited Liability Company** (submit items listed in Section 2)
- ☐ I will be doing business under my **Trade Name** (submit items listed in Section 3)
- ☐ I will be doing business under my **Partnership, LP or LLP** (submit items listed in Section 4)

1. Doing Business As A Corporation Or A Professional Corporation (PC)

- ☐ Articles of Incorporation **or** Certificate to Do Business in Nebraska if Nonresident Corporation
- ☐ Officers, home addresses & title for each listed
- ☐ Shareholders & Percentages
- ☐ Corporate Subordination Resolution (Required ONLY if less than 51% is owned by you)
- ☐ Application for Registration as a Professional Corporation along with the \$25.00 fee (Required ONLY if you are a PC)

2. Doing Business As A Limited Liability Company

- ☐ Articles of Organization or Certificate to Do Business in Nebraska if Nonresident Limited Liability Company
- ☐ Affidavit of Publication of Articles of Organization; **Required only if organized in Nebraska**
- ☐ Members & Managers
- ☐ Limited Liability Company Subordination Resolution (Required ONLY if less than 51% is owned by you)
- ☐ Application for Registration as a Limited Liability Company along with the \$25.00 fee

3. Doing Business As A Trade Name

- ☐ Trade Name Filing
- ☐ Affidavit of Publication of Trade Name

4. Doing Business As A Partnership, LP or LLP

- ☐ Trade Name Filing **(Required for general partnerships always, LPs and LLPs only if doing business in a trade name)**
- ☐ Statement of Qualification as a Limited Liability Partnership (Required for LLP's)
- ☐ Registration of Foreign LP to Transact Business in Nebraska (Required for Foreign LP's)
- ☐ Partners' Names and Residence addresses
- ☐ Partner Subordination Resolution **(required only if broker owns less than 51%)**

D. I am Becoming a Designated Broker and Taking Over an Entity with One or More Employees – GROUP TRANSFER:

You will need to submit the following documents for each licensee involved in the Group Transfer:

- ☐ Transfer Fee - \$25.00 for each licensee including self
- ☐ Wall License, Lost License Affidavit or a letter indicating that you are in possession of each of the wall license(s) (including own)
- ☐ Letter agreeing to employ each licensee, each employee name must be listed.
- ☐ Letter from each licensee agreeing to be employed by the new designated broker **OR** a statement of agreement to be so employed may be added under broker's signature on broker's letter and each licensee transferring places his/her signature beside his/her name on the list.

Indicate the entity type(s) you will be taking over and the way you will be conducting business to submit the required documents for the entity type(s):

- ☐ I will be doing business under my **Corporation or Professional Corporation (PC)** (submit items listed in Section 1)
- ☐ I will be doing business under my **Limited Liability Company** (submit items listed in Section 2)
- ☐ I will be doing business under my **Trade Name** (submit items listed in Section 3)
- ☐ I will be doing business under my **Partnership, LP or LLP** (submit items listed in Section 4)

1. I Am Taking Over For A CORPORATION

- ☐ Letter of Intent
- ☐ Consent to Examine Trust Account Form
- ☐ Articles of Incorporation **or** Certificate to Do Business in Nebraska if Nonresident Corporation
- ☐ Officers, home addresses & title for each listed
- ☐ Shareholders & Percentages
- ☐ Corporate Subordination Resolution (Required ONLY if less than 51% is owned by you)
- ☐ Application for Registration as a Professional Corporation along with the \$25.00 fee (Required ONLY if you are a PC)

2. I Am Taking Over For A LIMITED LIABILITY COMPANY

- ☐ Letter of Intent
- ☐ Consent to Examine Trust Account Form
- ☐ Articles of Organization or Certificate to Do Business in Nebraska if Nonresident Limited Liability Company
- ☐ Affidavit of Publication of Articles of Organization (**only necessary if organized in NE**)
- ☐ Members & Managers
- ☐ Limited Liability Company Subordination Resolution (**required only if broker owns less than 51%**)
- ☐ Application for Registration as a Limited Liability Company along with the \$25.00 fee

3. I Am Taking Over For A TRADE NAME

- ☐ Letter of Intent
- ☐ Consent to Examine Trust Account Form
- ☐ Trade Name Filing
- ☐ Affidavit of Publication of Trade Name

4. I Am Taking Over For A PARTNERSHIP, LP OR LLP

- ☐ Letter of Intent
- ☐ Consent to Examine Trust Account Form
- ☐ Trade Name Filing **(Required for general partnerships always, LPs and LLPs only if doing business in a trade name)**
- ☐ Statement of Qualification as a Limited Liability Partnership (Required for LLP's)
- ☐ Registration of Foreign LP to Transact Business in Nebraska (Required for Foreign LP's)
- ☐ Partners' Names and Residence addresses
- ☐ Partner Subordination Resolution (**required only if broker owns less than 51%**)